



POLICY ON CONTINUING CONTRACT ("CLINICAL") FACULTY

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1. Background

This policy is consistent with, and incorporates by reference, the University's Faculty Policies Applicable to Full-Time Continuing Contract Faculty, which may be found in the Faculty Handbook [here](#). Note that the term "department" is used throughout this document to include programs, areas, and departments. The term "clinical" refers to "full-time continuing contract" faculty.

The Faculty Handbook requires that each school establish its own policies governing the appointment, review and reappointment of full-time continuing contract faculty, conduct a five-year review of the school's policy, and establish a formal process for periodic reviews thereafter. No later than every five years, a committee will review the policy. The committee will be comprised of: 1) two department chairs who are tenured faculty members, 2) all directors of programs whose faculty is a majority clinical, 3) the representative and alternates to NYU's Full-time Continuing Contract Faculty Senators' Council (C-FSC), 4) the Stern Faculty Council (which includes at least one clinical faculty member), and 5) one member of the clinical faculty at large, nominated by the representative to the C-FSC. If one of the directors mentioned in 2) above is a tenured professor, then only one department chair from 1) will join the committee. Any interim amendment to this Policy must be in writing, and submitted to the Stern Faculty Council and to Stern's representative and alternates to the Full-time Continuing Contract Faculty Senators' Council for review and approval.

This policy is being implemented by the Stern School of Business to supplement University policies applicable to full time continuing contract faculty. If at any point the Stern policy is inconsistent with NYU policies, the NYU policies then in effect will control. As with all NYU policies, this policy is subject to change and it is the policies in effect at the time of the action that apply.

2. Establishing a Position

The decision to establish a clinical faculty position as opposed to a tenure-track position requires consultation with members of the department concerned and approval of the dean, and is reviewed by the Provost as part of the annual staffing plan. All clinical faculty members occupy full-time faculty budget lines.

3. Responsibilities

Clinical faculty members play a key role at Stern. By contributing to the academic process at Stern through their full-time commitment to teaching, and through service activities, clinical faculty complement the tenured and tenure track faculty in fulfilling Stern's mission. Thus, their primary responsibility is teaching courses that are critical and often required components of the school's curriculum, including both undergraduate and graduate core courses. Another key responsibility is to effectively engage in service activities, such as directing and/or participating in academic programs and centers, initiating new programs, course coordination, committee work, advising students and working with student clubs. Clinical faculty

members' service responsibilities and expectations are commensurate to their rank. Any responsibilities that affect the teaching load will be defined in respective appointment letters.

4. Terms of Appointment

Appointments and reappointments of clinical faculty are made for fixed renewable terms. The contract will stipulate start and end dates of the appointment, an indication of whether the appointee is eligible to be considered for reappointment, responsibilities, compensation and agreement to be bound by applicable University policies. In accordance with University Bylaw 87 (b), the appointment of clinical faculty automatically terminates at the close of the period of time stipulated in the contract, unless the Vice Dean for Faculty and Research has signed and sent an official notice of renewal. (See Section 9 below for timing of notice of non-renewal.)

The initial appointment term of clinical faculty of all ranks, including the Professor of Management Practice, is typically for one to two years, depending on prior teaching experience. Following the initial term of appointment, clinical faculty may hold renewable contracts of varying lengths: "short contracts" of one or two years, "standard contracts" of three years, or "long contracts" of four or more years. Short contracts are offered only on an exceptional basis for various reasons including changing curriculum and course demand, questions or concerns about performance issues, or at the faculty member's request. In such cases, the individual will be notified of the reason for the short contract. The standard contract term is three years. The school may offer contracts for longer than three years in certain circumstances to clinical faculty members above the rank of assistant professor, assuming the professor exhibits a demonstrated record of continuous excellent teaching performance and a strong level of service or academic contribution to the school, as determined during the reappointment process outlined in this document. Specifically, in cases where the candidate's performance since the last reappointment has consistently exceeded expectations, on both the teaching and service dimensions of the annual merit review, then a long contract may be awarded. Generally, those faculty members with ten or more years of service, including time spent as an adjunct at Stern, will be considered for a long contract.

Unless otherwise specified in the individual contract, clinical faculty appointments may be renewed indefinitely.

5. Titles and Qualifications

All clinical faculty members are expected to be actively engaged in teaching and service responsibilities, and to bring to the school and classroom important subject matter and/or industry expertise. All clinical faculty members must hold a graduate degree. Clinical faculty members are not eligible for tenure; they are typically contracted for multiple years. The clinical faculty is diverse: some are primarily teachers, some have strong administrative expertise in addition to teaching excellence, and some have extensive industry experience. For clinical faculty members who have substantial administrative responsibilities, performance of those responsibilities will be considered in reviews for reappointment or promotion.

Most new full-time continuing contract appointments are made at the rank of Clinical Assistant Professor, but initial appointments at higher ranks may be appropriate for individuals with noteworthy experience, as outlined below.

Clinical Assistant Professor: Typically the initial appointment for clinical faculty members.

Clinical Associate Professor: Typically an experienced teacher with a strong record of either sustained achievement in the classroom or industry experience. In addition, a record that indicates a likely substantial service contribution to the school is expected.

Clinical Professor: Typically an experienced teacher with a record of either extraordinary achievement in the classroom or significant industry leadership experience. In addition, a record that indicates a likely leadership role and significant contribution to the school's reputation and/or significant exercise of administrative responsibilities is expected.

Clinical Professors with the honorific designation of "Professor of Management Practice": This title is reserved for faculty who join Stern after distinguished careers in fields related to business practice. These individuals contribute to the teaching and research mission of the school by bringing "managerial practice" into the classroom and serving as an important resource for their colleagues.

6. Initial Appointment

Nominations for appointments of candidates to clinical faculty positions are put forward by the respective departments via the same channels as nominations for tenure-track appointments, and are subject to the same departmental review processes before they are forwarded to the dean. The contract will state the teaching load and any other agreed-upon duties.

The honorific designation "Professor of Management Practice" ("PMP") is reserved for candidates who have had distinguished careers in business or related fields. Candidates should hold credentials appropriate for the work done as a practitioner, and should be able to relate non-academic experiences effectively to teaching assignments within the Stern School. As this title is used to designate professionals who have distinguished themselves as widely recognized senior leaders in key line or staff positions in major firms, it is typically used only for new appointments and only at the full professor level; gaining academic experience does not lead to promotion to PMP.

A candidate for a full-time clinical appointment must present evidence of a distinguished career as a practitioner and/or appropriate education or teaching experience in a field relevant to the appointment. Candidates are expected to show outstanding pedagogical skills or talent, as evidenced by past teaching performance, curriculum development and teaching innovation, or expertise in an area of strategic importance that is not otherwise available on the faculty. Depending upon their experience, in accordance with the guidelines set forth in Section 5 above, they may be appointed at the rank of clinical assistant professor, clinical associate professor, or clinical professor.

7. Annual Merit Reviews

Clinical faculty members are expected to adhere to the highest levels of performance and commitment to the university and the school and the highest standards of excellence in their fields. Specifically, they should demonstrate teaching excellence, as reflected by a combination of academically rigorous course content, teaching in courses of high strategic value to the school, pedagogical innovation, student ratings, student success consistent with high quality teaching, and enrollments. Evidence of teaching performance may include course materials (e.g. syllabi, lecture notes, assignments), course development and innovation, instructor development, peer classroom observations, online videos, self-presentation, samples of student writing as evidence of continuing influence upon students, examples of learning beyond the classroom, and student evaluations. Clinical faculty members are also expected to make meaningful service contributions in their department and/or the school, by such activities as serving on committees, advising students, and attending school events. Service outside the school that supports Stern's mission and brand is also

encouraged. As the primary role of clinical faculty at Stern is to teach, research effort will be reflected in the service category. The weights for teaching and service may be adjusted as appropriate, though service cannot exceed 30%.

All clinical faculty members complete a Faculty Activity Report (FAR) each year for review by the department chair and vice deans. During the rigorous AMR process each spring, the department chair presents to the vice deans and deans the activity and achievements of each faculty member, using the completed FAR as one source of information, and discusses areas requiring improvement. The department chair then provides written and oral feedback and recommendations to each faculty member. The feedback reflects the input gathered at the meeting with the vice deans and deans.

8. Reappointment

The review process and criteria for reappointment are such that only individuals who are continuing to make a significant contribution to the excellence of the school are reappointed. The specific criteria for evaluating performance are those set forth under [Annual Merit Review](#) guidelines.

Reappointment is also based on consideration of curricular and programmatic initiatives. Thus, the decision to reappoint may be influenced by curricular and structural changes and needs in academic programs (even in those cases in which a candidate may satisfy the appropriate standards of achievement). When a position is to be eliminated at the end of the contract term and no similar position is vacant, reappointment does not occur. The faculty member may request a performance review for career development and offer suggestions on vacant similar positions.

Reappointment Process:

- Candidate submits to the department chair the most recent CV and Faculty Activity Report (FAR). The teaching, service, and summary statements in the FAR may be augmented if the candidate so chooses. Additional teaching materials provide evidence of high teaching performance and should include:
 - Student evaluations since the last review (both an aggregated summary across courses and complete Course Evaluations (CE) reports for all course sections taught) (available from Office of Faculty Affairs)
 - Sample syllabi (or access to online teaching sites) (not more than three syllabi)
- The department Promotion and Tenure (“P&T”) Committee* members shall conduct a review, considering evidence of the candidate’s performance and accomplishments in the areas of teaching and service. The P&T Committee then meets to discuss and vote on the case. Majority opinion will be determined by secret ballot.

*For purposes of clinical reappointment, the department P&T Committee must include 1) at least two clinical faculty members at the same or higher rank than the candidate and 2) all the department’s tenured faculty at the same or higher rank than the candidate. Of the two clinical faculty members, one must be the program director (if applicable), regardless of rank, and the other(s) must be at the same or higher rank than the candidate. If the department does not have at least two clinical professors who satisfy these criteria, the Vice Dean for Faculty and Research, in consultation with the department chair or program director, will appoint them from other departments whose subject matter most closely aligns with the candidate’s.

- The Department Chair completes a Recommendation for Clinical Reappointment form. This must include the outcome of the vote, a summary of the basic arguments for or against reappointment and a statement of future potential. If the recommendation is for reappointment, this form, together with the materials submitted by the candidate, is forwarded to the Committee of Department Chairs and Vice Deans. If reappointment is not recommended by the department P&T Committee, the candidate is notified both in writing and in person according to the deadlines set forth below under Contract Terms.
- The Committee of Department Chairs and Vice Deans, not including the dean, reviews all of the reappointment materials, discusses, and then votes to support or not support the recommended renewal. A majority vote of the Committee shall be required for approval. All votes of the Committee shall be by secret ballot and re-voting shall occur only if new material becomes available. This Committee will provide to the dean a list of all candidates considered at the meeting indicating which reappointments were approved and any additional comments, along with the reappointment forms.
- If the dean's decision on reappointment or length of contract is contrary to that of the Committee of Department Chairs and Vice Deans, the dean will provide reasons to the Committee. The Committee will then have ten days in which to provide further information or counter-argument before the dean's decision is finalized. If a reappointment is not approved, the candidate is notified both in person and in writing, including the rationale for the decision, according to the deadlines set forth under Contract Terms below.

9. Contract Terms and Review Schedules

Contract terms fall into two categories, each with different review and notification schedules:

- Contracts of Three Years or Longer (“Standard” and “Long Contracts”)**
Reappointment of a clinical faculty member on a contract of three or more years requires a formal process that is conducted in the penultimate year of the contract and is completed by the end of that academic year (i.e. May). If the decision is not to reappoint, the faculty member shall be notified of the decision no later than August 31 of the penultimate year, and shall continue to be under contract for the final year.
- One- or Two- Year Contracts (“Short Contracts”)**
Clinical faculty holding one- or two- year contracts will be reviewed for reappointment before the March 1 immediately preceding the end of their contract term. If the decision is not to reappoint, the faculty member shall be notified of the decision no later than March 1, or at least 180 days prior to the termination date if the contract term ends on a date other than August 31.

Terminal Contracts: If a reappointment letter states that it is for a final term, no reappointment process will take place.

Third Year Review: Though reappointment cannot proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments unnecessary for clinical faculty on Short Contracts. That said, in the first semester of the third year of continuous appointments, and in the first semester of every subsequent third year, clinical faculty members with on-going Short Contracts shall be subject to formal review comparable to the review of faculty on Standard or Long Contracts.

c. Deadline for Materials

The department must submit reappointment materials to the Vice Dean for Faculty and Research by January 25. Deadlines earlier in the process are set by each department.

10. Promotion

Clinical faculty can be promoted from Clinical Assistant Professor to Clinical Associate Professor or from Clinical Associate Professor to Clinical Professor, according to these criteria:

a. Promotion Criteria

Generally, criteria for promotion are tied to duties. The expectation is excellence, but how excellence is measured will depend on the duties for individuals. For those who have major impact in industry or who provide value through industry connections, criteria for promotion includes excellence in bringing industry perspectives and connections to the program and school. For those who have administrative roles, criteria include excellence in performing those roles. In addition, candidates must meet the following criteria:

Promotion to Clinical Associate Professor: The candidate's record must indicate evidence of excellent teaching performance and contributions to Stern's teaching programs through contributions that extend beyond one's own teaching and that enhance the teaching and curriculum at Stern more broadly. Service to the school is also expected, such as through program development, committee membership, advising and mentoring students and engaging in other activities that support Stern's educational mission.

Promotion to Clinical Professor: The candidate's record must indicate evidence of sustained excellent teaching performance and contributions to Stern's teaching programs through extraordinary contributions that extend beyond one's own teaching and that enhance the teaching and curriculum at Stern more broadly. In addition, institution-building service to the school is expected, through activities such as directing key academic programs or centers, initiating new programs, leadership on committees, developing the teaching and leadership capacity of colleagues, advising students and engaging in other activities that support Stern's educational mission.

b. Promotion Timing

Promotion to Clinical Associate Professor: The department should consider promotion for assistant professors who have been in that role for six years.

Promotion to Clinical Professor: The department should consider promotion for associate professors who have been in that role for six years.

c. Promotion process

At every reappointment review, the department shall simultaneously consider whether the candidate meets the criteria for promotion, unless the candidate chooses not to be considered. If the decision is to pursue promotion, this process is followed:

- Candidate submits to the department chair the most recent CV and Faculty Activity Report (FAR), described in Section 7 above. The teaching, service, and summary statements in the FAR may be augmented if the candidate so chooses. Additional teaching materials provide evidence of high teaching performance and should include:
 - Student evaluations since the last review (both an aggregated summary across courses and complete Course Evaluations (CE) reports for all course sections taught) (available from Office of Faculty Affairs)
 - Sample syllabi (or access to online teaching sites) (not more than three syllabi)
- Based on information provided in the candidate's statement, the Vice Dean for Faculty and Research requests sources outside the department to address contributions made to the school or university. This could include committee chairs or program vice deans, among others, depending on the candidate's stated activities.
- Department P&T Committee* follows its department's standard practice as to whether the [Recommendation for Promotion form](#) will be prepared by the department chair or a subcommittee. The subcommittee is comprised of three faculty members at a higher rank than the candidate, including one clinical professor. If the department does not have a clinical professor who satisfies this criterion, the Vice Dean for Faculty and Research, in consultation with the department chair or program director, will appoint one from another department. The Recommendation for Promotion form summarizes the candidate's contributions and assesses whether the criteria for promotion are met, including substantiation of the recommendation for promotion and a statement of future potential. It includes a recommendation and is submitted to the Department P&T Committee.

* For purposes of clinical promotion, the department P&T Committee must include: 1) all the department's full-time clinical faculty members at a higher rank than the candidate, 2) the program director or department chair, regardless of rank, and 3) all the department's tenured faculty at a higher rank than the candidate. If the department does not have at least two clinical professors who satisfy these criteria, the Vice Dean for Faculty and Research, in consultation with the department chair or program director, will appoint them from other departments.

In the case of areas without tenured faculty, the Vice Dean of Faculty, in consultation with the program director, will appoint an ad-hoc advisory committee including the program director, one clinical faculty member of the same or higher rank as those being reviewed, and at least two tenured Stern faculty members (total of four people). If the program director is a tenured professor, an additional clinical faculty member at appropriate rank will be included, for a total of five people.

The department P&T Committee shall conduct a review, considering evidence of the candidate's performance and accomplishments in the areas of teaching and service and if applicable, research. The department P&T Committee then meets to discuss and vote on the case. Majority opinion will be determined by secret ballot. Any department P&T Committee member may submit a signed dissenting opinion letter that will be added to the file and made available to the departmental committee.

- If, after a comprehensive review, the department P&T committee supports proceeding with promotion, the department chair submits the completed NYU Recommendation for Promotion form, the candidate's materials, and the committee vote to the Vice Dean for Faculty and

Research. If the department's decision is to not pursue promotion, the candidate is notified in writing, and the department chair provides feedback to the candidate on areas of improvement.

- If the department supports promotion, the Committee of Department Chairs and Vice Deans meets to discuss and vote on the proposed promotion, and then makes its recommendation to the dean. Ideally, this follows the same schedule as reappointments, as set forth in Section 8 above.
- Dean reviews the proposed promotion and informs the department chair and candidate of the decision.

Letters from external reviewers are not typically sought, as the responsibilities of a clinical faculty member are to teach and provide service, both of which are primarily internal activities.

11. Transfer between Clinical and Tenured or Tenure Track Appointments

Clinical faculty positions cannot be used as a mechanism to retain tenure-track faculty members who have not been, or are not likely to be, granted tenure. Conversion to a clinical appointment is not an option for a tenure-track faculty member who has been denied tenure, or whose performance does not merit a full tenure review.

12. Governance

In accordance with University Bylaw 82 (c), the clinical faculty at Stern may hold its own faculty meetings and may participate in joint meetings with Stern's tenured/tenure track faculty. At the department level, clinical faculty participate as members of the department faculty in department governance, including voting on matters of department governance, with the exclusion of matters related to promotion and tenure of tenure track faculty, the hiring of tenured and tenure track faculty, and matters affecting his or her own status on the faculty at NYU.

13. Relative Size of the Clinical Faculty

While clinical faculty members make valuable contributions to the Stern School, excessive reliance on clinical faculty may gradually dilute the research mission of the School. Consequently, the relative size of the tenured/tenure-track, clinical, and adjunct faculties, and their aggregate teaching responsibilities, will be subject to annual review by the Committee of Department Chairs and Vice Deans.

14. Contract Clock

The contract timeline for a clinical faculty member may be paused for stipulated reasons, as per the University Guidelines for Full Time Continuing Contract Faculty Appointments. These reasons include medical, personal, as primary caregiver for a child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation. Other types of leave do not typically pause the contract unless approved by the dean.

15. Grievance

Stern follows the faculty grievance procedures process as set forth in the NYU Guidelines.